

# **FREE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity Payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

**TOTAL AMOUNT OF PAYMENT** (\$ 650.00)

## **Complete if Known**

Application Number	09/464,377
Filing Date	12/15/99
First Named Inventor	Michael R. Stallcup
Examiner Name	Not Assigned
Group/Art Unit	1643
Attorney Docket No.	13761-726-00

## **METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **50-1192**

Deposit Account Name **McCutchen, Doyle, Brown & Enersen, LLP**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set In 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ **Payment Enclosed:**

☒ Check ☐ Money Order ☐ Other

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

Large	Entity	Small	Entity	Fee Description	Fee
Code	(\$)	Code	(\$)		Paid
101	690	201	345	Utility filing fee	\$345
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Prov. filing fee	

**SUBTOTAL (1)** (\$345)

### **2. EXTRA CLAIM FEES**

Total Claims  -20\*\*=  x  =

Independent Claims  -3\*\*=  x  =

Multiple Dependent

\*\* or number previously paid, if greater. For Reissues, see below

Large	Entity	Small	Entity	Fee Description	Fee
Code	(\$)	Code	(\$)		
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependent claim, if no paid	
109	78	209	39	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2)** (\$585)

## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

Larg	Entity	Small	Entity	Fee Description	Fee Paid
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - late filing fee or oath	\$65.00
127	50	227	25	Surcharge - late provisional fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	216	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of IDS	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**TOTAL (3)**

**\$650.00**

## **SUBMITTED BY**

Type or Printed Name **William E. Thomson, Jr.**

## **Complete (if applicable)**

Reg. Number **20,719**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Design, Washington, DC 20231.

40145709.1/13761-726-00-US



In The United States Patent and Trademark Office

*#Sector*  
**(3)**

In re Application of:

Assignees: University of Southern California  
The Regents of the University of California

Inventors: Michael R. Stallcup  
Dagang Chen  
Heng Hong  
Dana W. Aswad

Appl. No: 09/464,377

Filed: December 15, 1999

For: REGULATION OF GENE EXPRESSION BY  
PROTEIN METHYLATION

Group Art Unit: 1643  
Examiner: Not Assigned

**Certificate of Mailing Under 37 C.F.R. § 1.8**

Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: March 21, 2000

Type or Print Name of Person Mailing: Bernice E. Worley

*Bernice E. Worley*  
Signature of Person Mailing

**Submission of Missing Parts of Application  
Under 37 C.F.R. 1.53**

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Application Processing Division  
Special Processing and  
Correspondence Branch  
Washington, D.C. 20231

Dear Sir:

Enclosed are the following items for filing in the above-referenced U.S. Patent Application:

- X   Declaration and Power of Attorney, executed by the inventors as follows: Dana W. Aswad - March 2, 2000; Dagang Chen - March 3, 2000; Michael R. Stallcup - March 4, 2000; and Heng Hong - March 6, 2000.
- X   Verified Statement Claiming Small Entity Status, executed by the assignees as follows: University of Southern California - March 2, 2000; and The Regents of the University of California - March 7, 2000.
- X   A check in the amount of \$650.00 to cover the \$65.00 surcharge set forth in 37 C.F.R. 1.16(e) and the \$345.00 filing fee in 37 C.F.R. 1.16(a), *et seq.*; as well as \$162.00 for 18 total claims over 20 and \$78.00 for 2 independent claims over 3.

X   Two separate checks in the amount of \$40.00 to cover the fees for recording the two enclosed Assignments as set forth in 37 C.F.R. 1.21(h).

  X   Assignment executed by Dana W. Aswad on March 3, 2000 and Recordation Form PTO 1594.

Assignment executed by Dagang Chen on March 3, 2000; Michael R. Stallcup on March 4, 2000; and Heng Hong on March 6, 2000, and Recordation Form PTO 1594.

  X   Copy of Notice of Missing Parts of Application dated January 21, 2000.

  X   The Commissioner is hereby authorized to charge payment of any additional fees due or credit any overpayment to Deposit Account No. 50-1192. A duplicate copy of this sheet is enclosed.

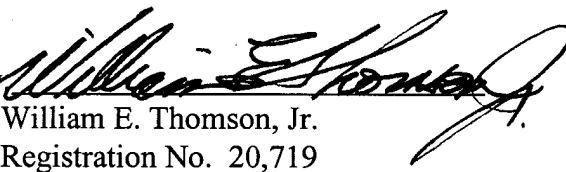
Please note that the attorney docket number for this patent is **13761-726-00**. We respectfully request that you include this document number on all future correspondence or other documents generated by your office regarding this patent application.

Having now complied with all of the requirements of 37 C.F.R. 1.53, applicant respectfully requests that this application be placed upon the files for examination.

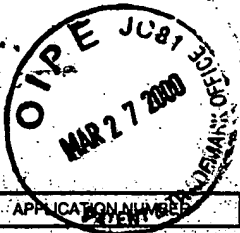
Date: March 21, 2000

Respectfully submitted,

McCutchen, Doyle, Brown & Enersen, LLP

By   
William E. Thomson, Jr.  
Registration No. 20,719

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San Francisco, California 94111  
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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST-NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/464,377	12/15/99	STALLCUP	M. 13765-726

0232/0121

VINCENT K YIP  
MCCUTCHEN DOYLE BROWN & ENERSON LLP  
THREE EMBARCADERO CENTER  
SAN FRANCISCO CA 94111

NOT ASSIGNED

1643

DATE MAILED:

01/21/00

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 1,370

☒ 1. The statutory basic filing fee is:

☒ missing.

☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 324 for 18 total claims over 20.

\$ 156 for 2 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

**BEST AVAILABLE COPY**

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00000049 \$01192

78.00 DP  
162.00 DP  
65.00 DP  
345.00 DP

35.00 CH